

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/416,779 10/13/99 PREPARATE F BUV-003.01

PATENT GROUP  
FOLEY HOAG & ELIOT LLP  
ONE POST OFFICE SQUARE  
BOSTON MA 02109-2170

0242/1109  
Resp to mp  
1-9-00  
6-9-00

NOT ASSIGNED

1643

DATE MAILED:

11/09/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 968.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☒ insufficient.

Applicant must submit \$ 760.40 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ 78.00 for                      total claims over 20.

\$                      for                      independent claims over 3.

\$                      for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

M. Middleton

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

01/12/2000 NPRASASO 00000125 09416779

01 FC:201  
02 FC:205  
03 FC:202

380.00 OP  
65.00 OP  
156.00 OP

SECRET

PATENT  
Attorney Docket No. BUW-003.01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Preparata, et al.

Serial No.: 09/416,779

Filed: October 13, 1999

Title: Systems and Methods For Sequencing By  
Hybridization



Group Art Unit: 1643

Examiner: Not Yet Assigned

CERTIFICATE MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on January 7, 2000.

*Carmen Parra*  
Carmen Parra

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

RESPONSE TO NOTICE TO FILE MISSING PARTS

Attached is a check in the sum of \$484 to cover the filing fee, extra claim fee and the late filing surcharge for the above-referenced application. Also enclosed is a copy of the Notice to File Missing Parts, a Declaration and Power of Attorney for Patent Application and a Verified Statement Claiming Small Entity Status.

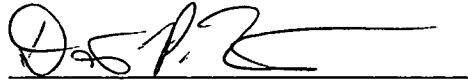
We have also enclosed a check in the sum of \$117 which covers the cost of 3 additional independent claims which were not accounted for on the Notice to File Missing Parts.

Although we believe that we have submitted the correct amount to cover the above-listed items, the Commissioner is authorized to credit any overpayment or charge any deficiencies to our Deposit Account No. 06-1448.

If there are any questions in connection with the filing of this Response, the Examiner can call the undersigned attorney at (617) 832-1754.

Respectfully submitted,

FOLEY, HOAG & ELIOT, LLP



David P. Halstead  
Reg. No. 44,735  
Agent for Applicants

January 7, 2000

Patent Group  
Foley, Hoag & Eliot, LLP  
One Post Office Square  
Boston, MA 02109  
Telephone: (617) 832-1000  
Facsimile: (617) 832-7000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

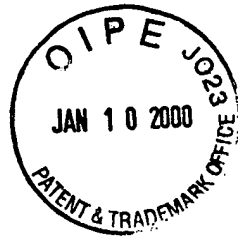
In re Application of:

Preparata, et al.

Serial No.: 09/416,779

Filed: October 13, 1999

Title: Systems and Methods For Sequencing By  
Hybridization



Group Art Unit: 1643

Examiner: Not Yet Assigned

*Receipt*  
*#15*

CERTIFICATE MAILING

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*Carmen Parra*  
Carmen Parra

Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED

FEB 02 2000

Sir:

REQUEST FOR CORRECTION OF FILING RECEIPT

Enclosed is a copy of the Filing Receipt received from the United States Patent and Trademark Office for the above-referenced application. There are errors on the Filing Receipt, which are marked in red on the copy. The inventors' names are incorrectly listed the correct names are:

Franco P. Preparata, Providence, Rhode Island; and  
Eliezer Upfal; Providence Rhode Island.

The title of the invention is misspelled, the correct title is:

Systems and Methods For Sequencing By Hybridization.

The total number of claims is incorrect; the correct number of claims are 7.

Applicants respectfully request issuance of a corrected filing receipt for this application.

If there are any other fees due in connection with the filing of this Amendment and Petition, please charge the fees to our **Deposit Account No. 06-1448**.

If there are any questions in connection with the filing of this Request, the Examiner can call the undersigned attorney at (617) 832-1754.

Respectfully submitted,  
FOLEY, HOAG & ELIOT, LLP

January 7, 2000



David P. Halstead  
Reg. No.44,735

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Foley, Hoag & Eliot, LLP  
One Post Office Square  
Boston, MA 02109  
Telephone: (617)832-1000  
Facsimile: (617) 832-7000



FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/416,779	10/13/99	1643	\$0.00	BUV-003.01	10	18	4

PATENT GROUP  
FOLEY HOAG & ELIOT LLP  
ONE POST OFFICE SQUARE  
BOSTON MA 02109-2170



Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) FRANCO P. PREPARATA; ELI UPFAL.  
FRANCO P. PREPARATA, PROVIDENCE RHODE ISLAND; ELIEZER UPFAL,  
CONTINUING DATA AS CLAIMED BY APPLICANT- PROVIDENCE, RHODE IS  
PROVISIONAL APPLICATION NO. 60/103,998 10/13/98  
PROVISIONAL APPLICATION NO. 60/125,704 03/23/99

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 11/04/99  
TITLE

~~SYSTEMS AND METHODS FOR SEQUENCES BY HYBRIDIZATION~~  
SYSTEMS AND METHODS FOR SEQUENCING BY HYBRIDIZATION  
PRELIMINARY CLASS: 435

RECEIVED

NOV 16 1999

F.H. & E. LLP  
PATENT DEPT.

DATA ENTRY BY: MIDDLETON, MATTIE TEAM: 04 DATE: 11/04/99



(See reverse for new important information)

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Sect. 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR Parts 121-128) ); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j) ); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "FOREIGN FILING LICENSE GRANTED" DOES NOT appear on the reverse side of this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE ---- The Following Information about the Filing Receipt:**

The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.

The words "new," "improved," "improvement," "improvements in or relating to" are not included as the first words in the title of an application because a patent application is, by nature, a new idea or improvement.

The title may be truncated if it consists of more than 4 lines of 70 characters each (letters and spaces combined).

The inventor information may be truncated if the family name consists of more than 25 characters (letters and spaces combined) and if the given name consists of more than 25 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).

The docket number allows a maximum of 12 characters.

If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Customer Address may have been modified to conform to U.S. Postal rules.

Please direct correction, including a copy of your Filing Receipt, to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

SERIAL NUMBER 09/416,779	FILING DATE 10/13/99	CLASS 435	GROUP ART UNIT 1631	ATTORNEY DOCKET NO. BUV-003.01
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APPLICANT  
FRANCO P. PREPARATE, PROVIDENCE, RI; ELI UPFAL, PROVIDENCE, RI.

**\*\*CONTINUING DOMESTIC DATA\*\*\*\*\***  
 VERIFIED PROVISIONAL APPLICATION NO. 60/103,998 10/13/98  
 PROVISIONAL APPLICATION NO. 60/125,704 03/23/99

**\*\*371 (NAT'L STAGE) DATA\*\*\*\*\***  
 VERIFIED

**\*\*FOREIGN APPLICATIONS\*\*\*\*\***  
 VERIFIED

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 11/04/99 \*\* SMALL ENTITY \*\*

Foreign Priority claimed 35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance	STATE OR COUNTRY RI	SHEETS DRAWING 10	TOTAL CLAIMS 18	INDEPENDENT CLAIMS 7
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Verified and Acknowledged  
 Examiner's Initials \_\_\_\_\_ Initials \_\_\_\_\_

ADDRESS  
 PATENT GROUP  
 FOLEY HOAG & ELIOT LLP  
 ONE POST OFFICE SQUARE  
 BOSTON MA 02109-2170

TITLE  
 SYSTEMS AND METHODS FOR SEQUENCING BY HYBRIDIZATION

FILING FEE RECEIVED \$601	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT NO. _____ for the following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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TC 1600 MAIL ROOM